



State of Iowa Criminal Justice Integration Project

PSI Functional Design Report

Final Report
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Presented by
URL Integration, Inc.

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1. Business Function: PSI

1.1 Description:

The Pre Sentence Investigation (PSI) serves two primary purposes. The first is to assist the bench in making sentencing decisions. The second is to assist the Department of Corrections. in the management of offenders if sentenced to probation or prison. Depending on the jurisdiction, the judge or the case, the PSI might be required after judgment and before sentencing or prior to both.

The Pre Sentence Investigation is made up of sections including

- The defendant's characteristics, family and financial circumstances, needs, and potentialities, including the presence of any previously diagnosed mental disorder.
- The defendant's criminal record and social history.
- The circumstances of the offense.
- The time the defendant has been in detention.
- The harm to the victim, the victim's immediate family, and the community.

Additionally, the presentence investigator shall provide a victim impact statement form to each victim, if one has not already been provided, and shall file the completed statement or statements with the presentence investigation report.

- The defendant's potential as a candidate for the community service sentence program established pursuant to section 907.13.
- Any mitigating circumstances relating to the offense and the defendant's potential as a candidate for deferred judgment, deferred sentencing, a suspended sentence, or probation, if the defendant is charged with or convicted of assisting suicide pursuant to section 707A.2.

In most cases this material is a summarization from other sources. In some sections it is derived from or supplemented by the defendants statement. In addition to the sections listed above, the report may have attached to it supporting documentation such as those listed in the code -

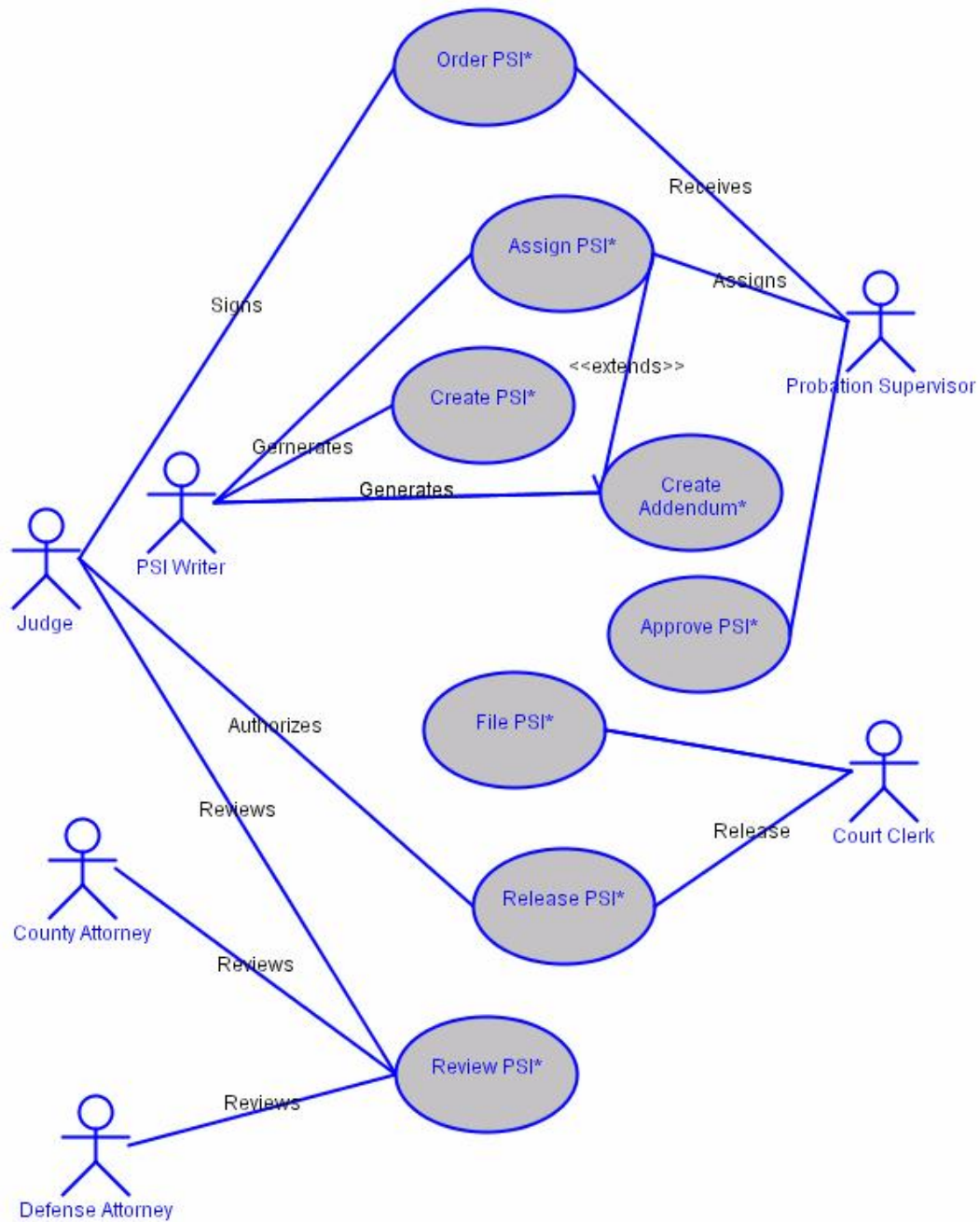
'All local and state mental and correctional institutions, courts, and police agencies shall furnish to the investigator on request the defendant's criminal record and other relevant information. With the approval of the court, a physical examination or psychiatric evaluation of the defendant may be ordered, or the defendant may be committed to an inpatient or outpatient psychiatric facility for an evaluation of the defendant's personality and mental health. The results of any such examination or evaluation shall be included in the report of the investigator. '

Not all of the information reported in the PSI is confidential, however the PSI in its entirety as a document is confidential, as well as some of the source material, which may have been obtained through a signed release.

If the judge orders a PSI, the relevant information in the order will be sent to the Division of Community Corrections of the Department of Corrections. It is required that the PSI be made available to the court three days prior to the scheduled hearing date.

1.2 Use Case Diagram

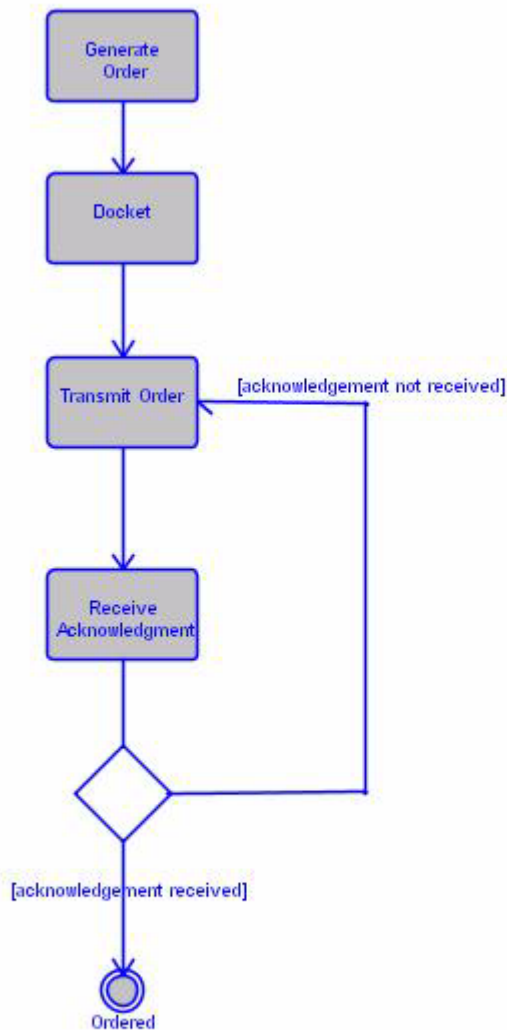
PSI Use Case Diagram



1.3 Use Case Specification: Order PSI

The Court must order a PSI be completed for the process to begin. The Judge may order the report prior to a plea agreement, prior to sentencing, or post sentencing. In the order, the Court must specify the date the report is due and insure the receipt of the order by the Department of Corrections.

Order PSI Activity Diagram



Associated Actor	Relationship	Description
Judge	Signs	
Probation Supervisor	Receives	

Flow of Events

1.3.1 Generate Order

Generate Order - The judge may order a PSI prior to the plea, after the plea or verdict but prior to sentencing, or after sentencing. The judge will set a due date for the submission of the PSI to the court. Statute requires the PSI be made available to the parties three days prior to the hearing.

Data provided: Court Case Identifiers, Court Action Data.

1.3.2 Docket

Docket - The event is recorded in the Court file (ICIS).

Data provided: Court Parties Data, Court Event Data.

1.3.3 Transmit Order

Transmit Order - The order is transmitted to Corrections. The order contains the defendant contact information, identifiers, case information, charges and due date. The Court must receive an acknowledgement from Corrections.

1.3.4 Check Acknowledgment

Receive Acknowledgment - Verification that the PSI order has been received by intended recipients is required to complete the order process. The order will be transmitted until such acknowledgement is received.

1.3.4.1 Alternative Flows

Detail
Manual intervention will be triggered after a set number of retransmissions with no acknowledgement.

Pre-Conditions

None

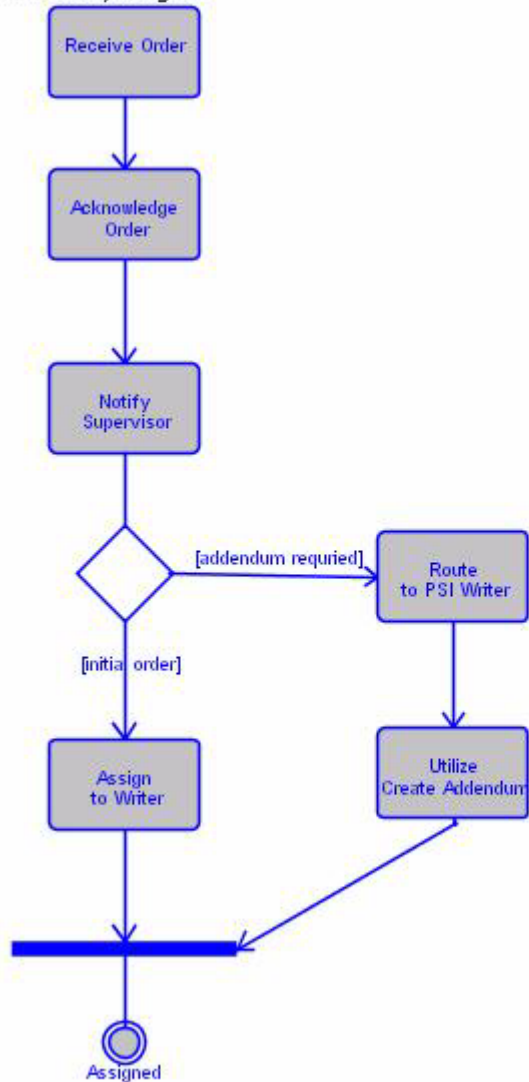
Post-Conditions

Post-Condition	Description
Ordered	The PSI order has been produced and sent to appropriate recipients.

1.4 Use Case Specification: Assign PSI

The probation supervisor will be the initial person to receive the order for a PSI from the Court. The receipt must be logged and it is the responsibility of the probation supervisor to assign the report to the appropriate PSI Writer.

Assign PSI Activity Diagram



Associated Actor	Relationship	Description
Probation Supervisor	Assigns	
PSI Writer		

Flow of Events

1.4.1 Receive Order

Receive Order - The order will be transmitted from the Court to Corrections. Corrections will have a mechanism for receiving and logging the order into ICON.

1.4.2 Acknowledge Order

Acknowledge Order - Corrections must immediately acknowledge receipt of the order back to the Court, returning the identifying information and the time of receipt.

1.4.3 Notify Supervisor

Notify Supervisor - Based on the sending court, the Correction's system will notify the probation supervisor responsible for PSI assignment for that area. Not only will the order be available to the supervisor through a log, but also there will be a notification mechanism to the supervisor or person filling the role.

If an addendum to the PSI is to be produced the supervisor will route the writer of the original PSI.

1.4.4 Assign to Writer

(If initial order) Assign to Writer - The probation supervisor will have a mechanism to assign the order to a PSI writer. Making all the information from the Court and ICON available to the writer.

1.4.5 Route to PSI Writer

(If addendum required) Route to PSI Writer - The writer of the original PSI will receive information or requests to supplement the PSI.

1.4.6 Utilize Create Addendum

Utilize Create Addendum - Once the information is complete, the PSI is created by the system as a PDF file. If new information is available or the Court orders an update, there will be an addendum created for the PSI. The original PSI will remain intact. The addendum will contain the identifying information, such as case number, and name. This will become part of the PSI once approved.

Pre-Conditions

None

Post-Conditions

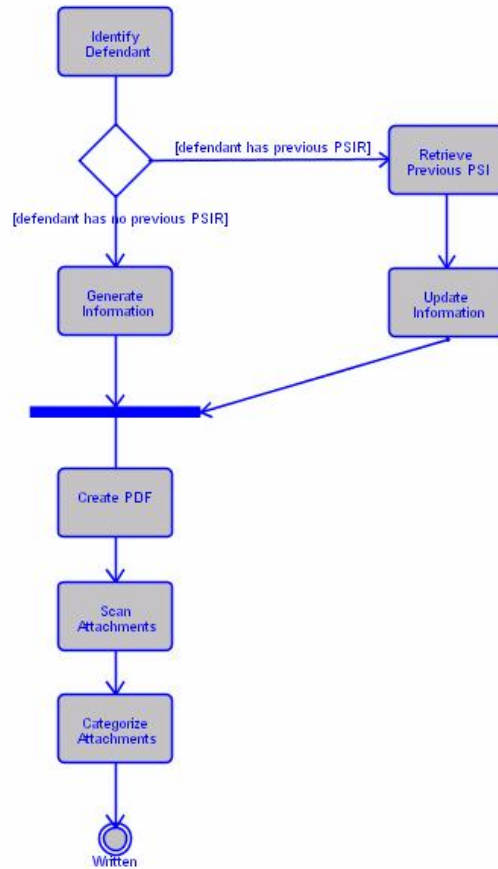
Post-Condition	Description
Assigned	The task for developing a PSI or subsequent addendums has been given to the appropriate individual.

1.5 Use Case Specification: Create PSI

The PSI is derived from information contained in ICON. The PSI writer must first identify the defendant, and if there has been a previous PSI written, updates the information. If this is the first PSI ordered for the defendant the PSI writer enters information into ICON organized around the sections within PSI.

Once the information is complete, the PSI is created by the system as a PDF file. If there are associated source documents, these will be scanned, categorized, and attached to the PSI. The attachment may be identified as confidential requiring specific judicial approval for release to defense counsel.

Create PSI Activity Diagram



Associated Actor	Relationship	Description
PSI Writer	Generates	

Flow of Events

1.5.1 Identify Defendant

Identify Defendant - Upon receiving the order, the defendant must first be identified as a new or previous case to the Correction's system. The defendant may not be using the

same name as a previous case and other identifiers such as the DCI number if available must be used in the identification process.

1.5.2 Generate Information

(If defendant has no previous PSIR) Generate Information - If the defendant has not had a PSI previously written and the information stored in ICON, the PSI writer will generate and enter the new information into ICON. The information is entered into the database by categories, some as coded data others as text.

1.5.3 Retrieve Previous PSI

(If defendant has previous PSIR) Retrieve Previous PSI - If the offender is identified as a previous case where a PSI had been developed in ICON, or has a PSI on the current case and an addendum has been ordered. The information will be retrieved from the system and made available to the assigned writer.

1.5.4 Update Information

Update Information - If the defendant has had a PSI previously written and the information stored in ICON, the PSI writer will update any new information into ICON, including the current crime and contact information. The information is update in the database by categories, some as coded data others as text.

The previous PDF file created representing the completed PSI may be viewed by the PSI writer but not changed in any way.

1.5.5 Create PDF

Create PDF - Once the complete information required for the PSI or addendum has been entered into ICON. A PDF file will be created pulling together all the pertinent information stored in ICON relating to the current PSI order. The PDF will be linked to the order.

1.5.6 Scan Attachments

Scan Attachments - The documents the PSI writer used for summarization purposes or to base recommendations must later be made available for review. The documents will be scanned into a file and attached to the current PSI.

1.5.7 Categorize Attachments

Categorize Attachments - The scanned source documents (attachments) must be categorized by source document type. Examples of the category types are mental health report, substance abuse report, and victim impact statement. In addition to the category type, each document will have a brief description explaining in more detail the contents.

Each document will have the ability to be flagged as confidential. Indicating that the document will not be released to the parties (defense) without judicial approval.

Pre-Conditions

None

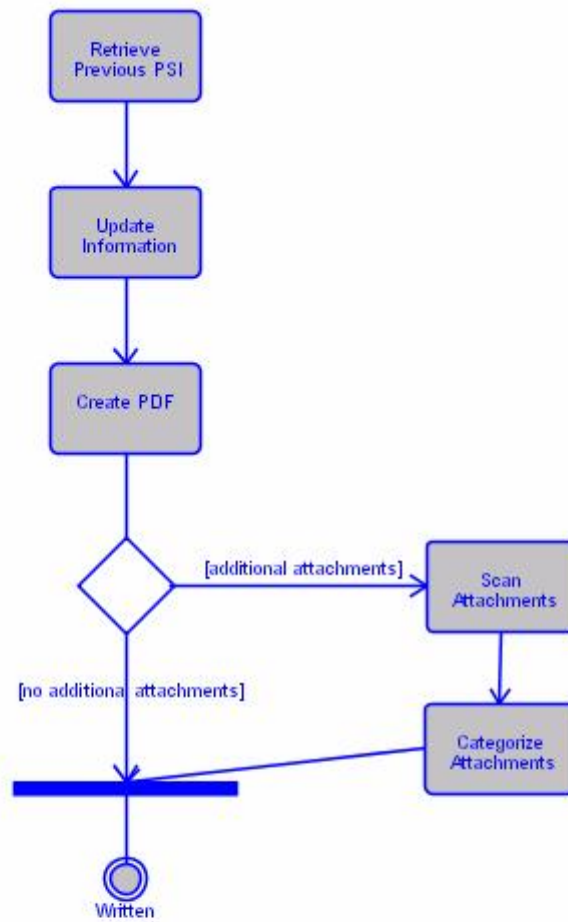
Post-Conditions

Post-Condition	Description
Written	A PSI, or an addendum to a PSI, has been produced in acceptable format.

1.6 Use Case Specification: Create Addendum

Once the information is complete, the PSI is created by the system as a PDF file. If new information is available or the Court orders an update, there will be an addendum created for the PSI. The original PSI will remain intact. The addendum will contain the identifying information, such as case number, and name. This will become part of the PSI once approved.

Create Addendum Activity Diagram



Associated Actor	Relationship	Description
PSI Writer	Generates	
PSI Writer	Generates	

Flow of Events

1.6.1 Retrieve Previous PSI

Retrieve Previous PSI - If the offender is identified as a previous case where a PSI had been developed in ICON, or has a PSI on the current case and an addendum has been ordered. The information will be retrieved from the system and made available to the assigned writer.

1.6.2 Update Information

Update Information - If the defendant has had a PSI previously written and the information stored in ICON, the PSI writer will update any new information into ICON, including the current crime and contact information. The information is update in the database by categories, some as coded data others as text.

The previous PDF file created representing the completed PSI may be viewed by the PSI writer but not changed in any way.

1.6.3 Create PDF

Create PDF - Once the complete information required for the PSI or addendum has been entered into ICON. A PDF file will be created pulling together all the pertinent information stored in ICON relating to the current PSI order. The PDF will be linked to the order.

1.6.4 Scan Attachments

(If additional attachments) Scan Attachments - The documents the PSI writer used for summarization purposes or to base recommendations must later be made available for review. The documents will be scanned into a file and attached to the current PSI.

1.6.5 Categorize Attachments

Categorize Attachments - The scanned source documents (attachments) must be categorized by source document type. Examples of the category types are mental health report, substance abuse report, and victim impact statement. In addition to the category type, each document will have a brief description explaining in more detail the contents. Each document will have the ability to be flagged as confidential. Indicating that the document will not be released to the parties (defense) without judicial approval.

Pre-Conditions

None

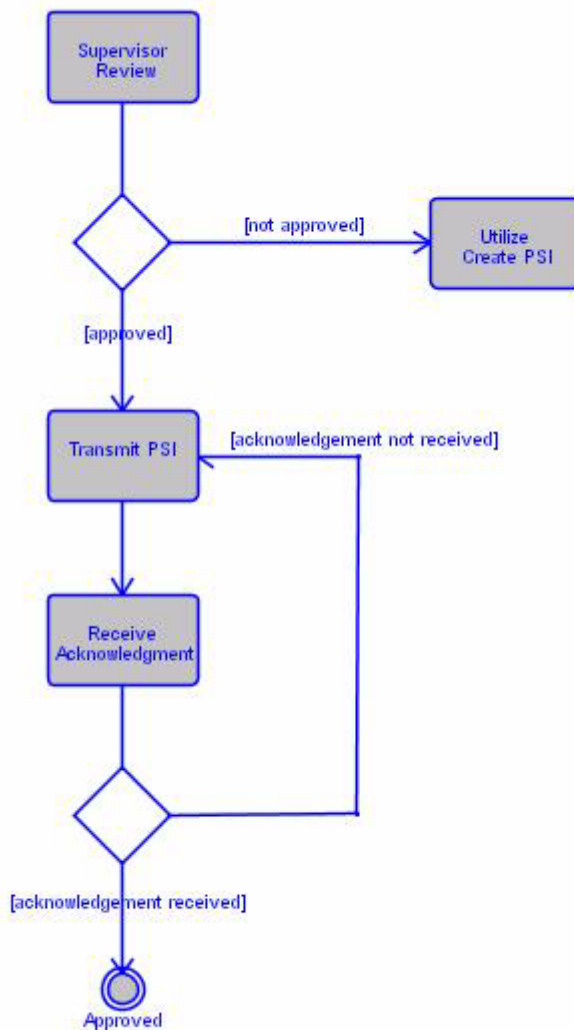
Post-Conditions

Post-Condition	Description
Written	A PSI, or an addendum to a PSI, has been produced in acceptable format.

1.7 Use Case Specification: Approve PSI

The PSI is forwarded to the probation supervisor for approval. If the probation supervisor approves the report, the PSI is permanently locked and the PDF file, all associated attachments, and identifying data are transmitted to the Court. The DOC must receive an acknowledgement from the Court at which time the transmission is logged.

Approve PSI Activity Diagram



Associated Actor	Relationship	Description
Probation Supervisor		

Flow of Events

1.7.1 Supervisor Review

Supervisor Review - The probation supervisor will review the PSI for completeness and will have the ability to record concerns if the PSI is not approved.

1.7.2 Utilize Create PSI

(If not approved) Utilize Create PSI - The PSI is derived from information contained in ICON. The PSI writer must first identify the defendant, and if there has been a previous PSI written, updates the information. If this is the first PSI ordered for the defendant the PSI writer enters information into ICON organized around the sections within PSI.

Once the information is complete, the PSI is created by the system as a PDF file. If there are associated source documents, these will be scanned, categorized, and attached to the PSI. The attachment may be identified as confidential requiring specific judicial approval for release to defense counsel.

1.7.3 Transmit PSI

Transmit PSI - If in the supervisors view the PSI is satisfactory, the PDF file and its attachments will be locked. At this point the current PSI is considered complete and the files will be transmitted to the Court. Along with the PDF files the associated data will also be transmitted.

1.7.4 Check Acknowledgment

Receive Acknowledgment - Verification that the PSI order has been received by intended recipients is required to complete the order process. The order will be transmitted until such acknowledgement is received.

Pre-Conditions

None

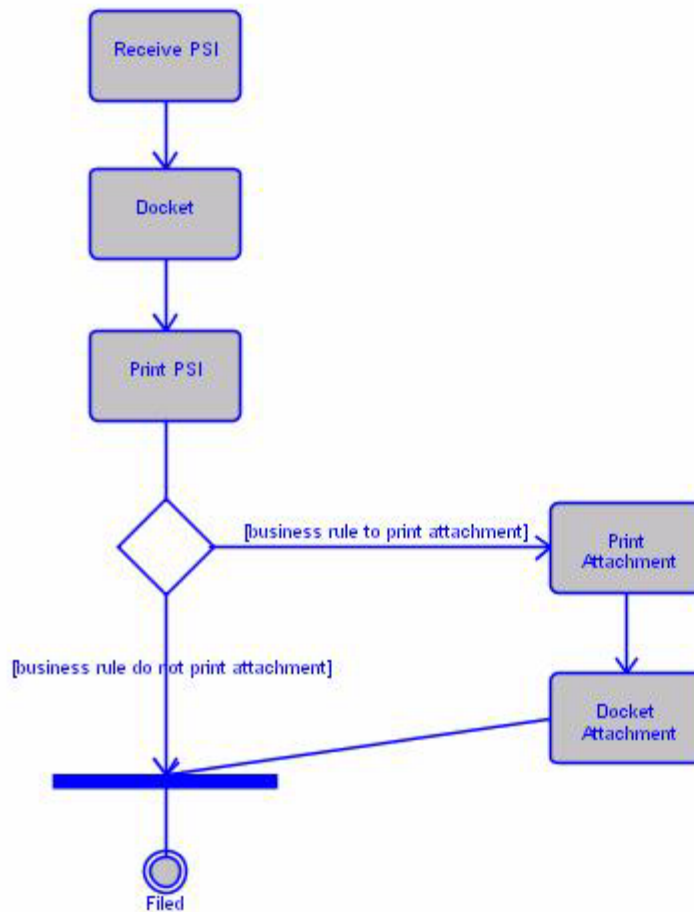
Post-Conditions

Post-Condition	Description
Approved	The PSI has been reviewed and deemed acceptable.

1.8 Use Case Specification: File PSI

Upon receiving the PSI from the DOC, the Court will acknowledge the receipt and make available the PSI to the parties. The PSI will be queued for printing by the clerk or other designated court officer. The receipt of the PSI will be docketed. Based on local court business rules, the attachments will either all be printed at the time of receipt or only when reviewed by any authorized party. When an attachment is printed this will be docketed and filed as part of the PSI.

File PSI Activity Diagram



Associated Actor	Relationship	Description
Court Clerk		
Court Clerk		

Flow of Events

1.8.1 Receive PSI

Receive PSI - The court will receive the completed PSI from Corrections; identify the PSI to the case and order. The court will then immediately acknowledge back to the Corrections the receipt of the PSI.

1.8.2 Docket

Docket - The event is recorded in the Court file (ICIS).

1.8.3 Print PSI

Print PSI - The PSI received from DOC will be queued up for printing. Each court can establish rules as to where the PSI will print. When the person responsible is prepared to print the PSI(s), these will be printed and filed.

1.8.3.1 Notes

Detail
The business rule can be established to print all, some based on category, or none. If an attachment is printed based on the rule it will be done at the time the PSIR is printed and filed.

1.8.4 Print Attachment

(If business rule to print attachment) Print Attachment - Upon becoming part of the Court record, the attachment will be queued up for printing and will be filed with the PSI.

1.8.5 Docket Attachment

Docket Attachment - The attachment being received by the Court and becoming part of the PSI is docketed into the Court records.

Pre-Conditions

None

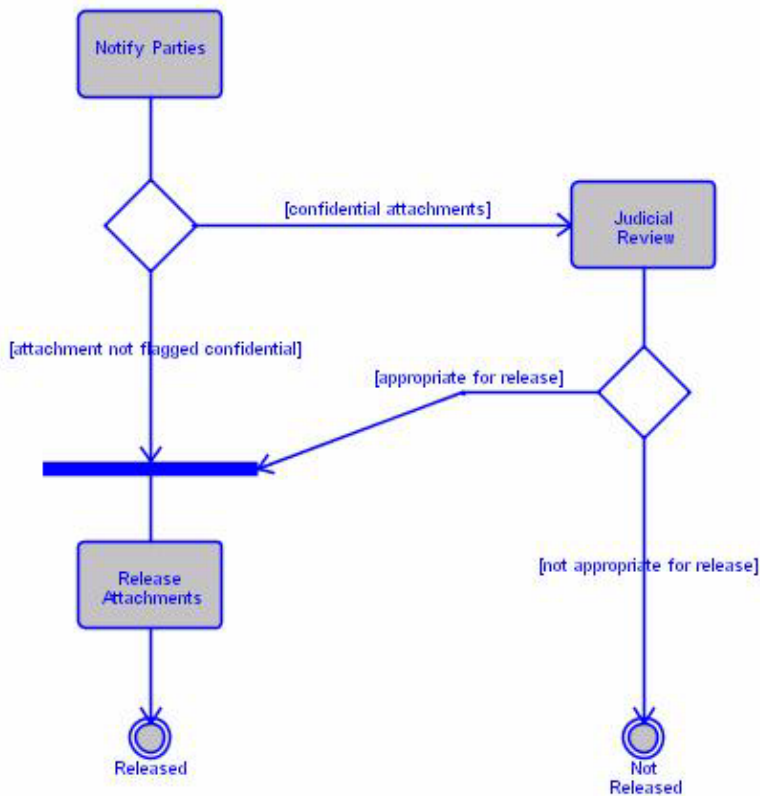
Post-Conditions

Post-Condition	Description
Filed	

1.9 Use Case Specification: Release PSI

The attachments will be categorized, have a brief description, and may be flagged as confidential. Attachments flagged confidential will require judicial release prior to being available to defense counsel. The parties will be notified after the Court docket the receipt. The PSI and attachments will be available through the secure web portal.

Release PSI Activity Diagram



Associated Actor	Relationship	Description
Judge	Authorizes	
Court Clerk	Release	

Flow of Events

1.9.1 Notify Parties

Notify Parties - The parties including the judge, the county attorney, and defense counsel are notified that the PSI is available for viewing through the system.

1.9.2 Judicial Review

(If confidential attachments) Judicial Review - The judge reviews any or all attachments and if an attachment is marked confidential makes a determination as to the appropriateness for the release of this document to the defense counsel. If a determination were made that viewing would be appropriate the designation is modified. The judge would also have the ability to mark any attachment confidential after review, which might otherwise not have been marked.

1.9.3 Release Attachments

Release Attachments - Attachments will be available to the parties for review over the secure web portal. Only those marked as confidential will not be available for review by the defense counsel.

Pre-Conditions

None

Post-Conditions

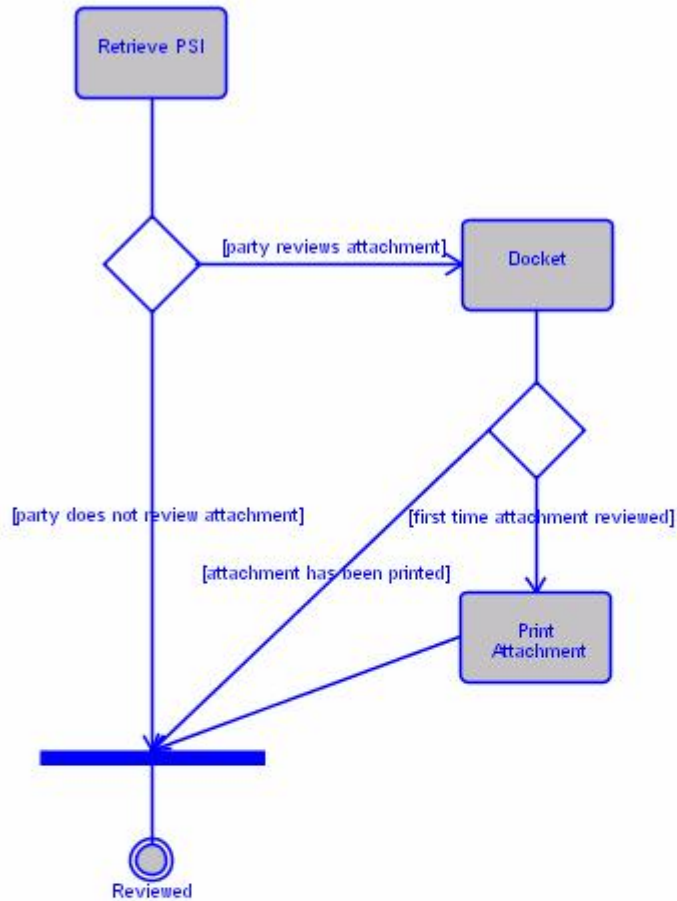
Post-Condition	Description
Not Released	A PSI has completed the review process and a sufficient basis for withholding the document and all related material from release has been determined.
Released	A PSI has completed the review process and is made available for release.

1.10 Use Case Specification: Review PSI

The parties will have the ability to review the PSI and associated attachments over the secure web portal. Some of the attachments may be marked confidential and cannot be retrieved unless authorized by the Court.

The party will have the ability to retrieve the documents for viewing online and printing. However, after a set period of time the documents will no longer be available over the web portal, and will be sealed by the Court.

Review PSI Activity Diagram



Associated Actor	Relationship	Description
County Attorney	Reviews	
Defense Attorney	Reviews	
Judge	Reviews	

Flow of Events

1.10.1 Retrieve PSI

Retrieve PSI - The PSI and attachments are retrieved from the secure web portal. There is a security procedure to ensure the party is an authorized user and associated to the case.

1.10.1.1 Alternative Flows

Detail
If a PSIR and any attachment is retrieved for the first time by a given party this is docketed into the court record.

1.10.2 Docket

(If party reviews attachment) Docket - The event is recorded in the Court file (ICIS).

1.10.2.1 Alternative Flows

Detail
If a party retrieves an attachment that has previously not been printed, the attachment is queued up for printing at the court.

1.10.3 Print Attachment

(If first time attachment reviewed) Print Attachment - Upon becoming part of the Court record, the attachment will be queued up for printing and will be filed with the PSI.

Pre-Conditions

None

Post-Conditions

Post-Condition	Description
Reviewed	The PSI was made available for viewing online during the prescribed time period.